

(b)(6)

From: (b)(6)
Sent: Tuesday, September 16, 2014 2:10 PM
To: (b)(6)
Subject: FW: Securities Enforcement Forum 2014
Attachments: Event Vetting--SEF 2014.docx

And this the event vetting doc for the DC event in October.

From: (b)(6)
Sent: Tuesday, September 16, 2014 2:08 PM
To: (b)(6)
Subject: RE: Securities Enforcement Forum 2014

Hi (b)(6)

The completed form is attached. Please let me know if you have any questions.

Thanks!

Best,
(b)(6)

From: (b)(6)
Sent: Tuesday, September 16, 2014 1:40 PM
To: (b)(6)
Subject: RE: Securities Enforcement Forum 2014

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I am going to pass your questions regarding Bloomberg BNA to our Public Affairs Office and have them get in touch with you. Preet does not have any questions for you regarding his keynote at this time, though I am sure I will be in touch as we get closer to the date. Sorry to bother, but would you mind filling out the attached form? I just need to pass it to our ethics coordinator. Thank you!

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From: (b)(6)
Sent: Tuesday, September 16, 2014 12:37 PM
To: (b)(6)
Subject: Securities Enforcement Forum 2014

Hi (b)(6)

A couple of quick questions:

1. Bloomberg BNA will be present at the conference and would like to videotape the Morning and Afternoon Keynotes. Is this OK with Mr. Bharara?
2. Bloomberg BNA will be also be creating a small "set" onsite to interview some of the participants individually on camera. The interviews (or, more likely, portions of them) may be shown on Bloomberg BNA, Bloomberg Law or on

Bloomberg terminals. They would like to interview Mr. Bharara after his Keynote (they said it would take 15 mins or so). Would he be willing to be interviewed?

3. Does Mr. Bharara have any questions about his Keynote (substance, time, format, etc.?). The general plan is for him and Mr. Khuzami to have a one-on-one Q&A on enforcement issues for about 25 minutes or so, beginning at approximately 12:30 pm.

Thanks!

Best,

(b)(6)

From: (b)(6)
Sent: Friday, August 15, 2014 5:40 PM
To: (b)(6)
Subject: RE: Securities Enforcement Forum 2014--tentative agenda and panels

(b)(6)

This schedule works for Preet. Thanks.

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From: (b)(6)
Sent: Thursday, August 14, 2014 4:40 PM
To: (b)(6)
Subject: Securities Enforcement Forum 2014--tentative agenda and panels

Panelists/Speakers—

I hope you are having a great summer!

Securities Enforcement Forum 2014 (Tuesday, October 14, 2014, at the Four Seasons Hotel in Washington, D.C.) is now two months away, and we are ramping up our preparations. We expect a great turnout for what is shaping up to be an incredible event!

Here is the tentative agenda, and suggested topics and panelists. If this presents a problem or a conflict for you, or if you have any thoughts or ideas, please let me know ASAP:

TENTATIVE AGENDA AND PANELS – SECURITIES ENFORCEMENT FORUM 2014 (<http://www.securitiesenforcement.com/>)

7:00-8:00 Breakfast

8:10-8:30 SEC Commissioner Michael Piwowar: Morning Keynote

8:30-9:30 Panel 1: FCPA, SEC/DOJ Joint Actions, and Other Recent Criminalization Trends (60 mins)

Moderator: (b)(6)

Panelists:

(b)(6)

-15 min break-

9:45-10:45 Panel 2: Financial Reporting and Accounting Fraud (60 mins)

Moderator: (b)(6)

Panelists:

(b)(6)

-15 min break-

11:00-12:00 Panel 3: Insider Trading, Whistleblowers and Other 2014 Enforcement Priorities (60 minutes)

Moderator: (b)(6)

Panelists:

(b)(6)

12:00-1:15 Lunch and Afternoon Keynote Q&A session with U.S. Attorney Preet Bharara (moderated by Rob Khuzami;
Afternoon Keynote Introduction by (b)(6)

1:15-2:30 Panel 4: Directors Panel (75 mins)

Moderator: (b)(6)

Panelists:

(b)(6)

-15 min break-

2:45-3:45 Panel 5: SEC/FINRA Investigations and Cybersecurity Priorities Regarding Hedge Funds, Asset Managers,
Broker-Dealers and Private Equity Firms (60 mins)

Moderator: (b)(6)

Panelists:

(b)(6)

-15 min break-

4:00-5:00 Panel 6: SEC Practice: Current Developments in Trials, Testimony, Wells Process, Administrative Proceedings
and Settlements (60 mins)

Moderator: (b)(6)

Panelists:

(b)(6)

5:00-6:00 Cocktail party and ceremony honoring inaugural class of Enforcement Hall of Fame

Thanks!

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<http://www.securitiesdocket.com>